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Triennial comprehensive policy review of operational activities for development of the United Nations system

Report of the Secretary-General

Addendum

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I. Field-level coordination

A. Resident coordinator system and country coordination

1. The full impact of steps taken as a result of the Secretary-General's reform measures to strengthen collaboration and coordination among United Nations system organizations and achieve a consistent response of the United Nations system to the country's development needs will require more time to take full effect. What is apparent is that the number of entities and participating organizations in the resident coordinator system is increasing, and most have separate financial and technical resources. Moreover, the demands being placed on the system are changing to involve more upstream advocacy and policy work as compared to project implementation, and new initiatives to promote strategic consultation and coordinated programming, such as the country strategy note, common country assessment and the United Nations Development Assistance Framework (UNDAF). Although there is a strong need for effective coordination, there is also a potential risk of overburdening the resident coordinator system with coordination tasks; the costs and benefits of coordination must, therefore, be kept in mind in assessing country-level coordination.

2. The need for coordination is becoming more evident because it seeks to ensure that recipient countries receive maximum results from scarcer resources; that the expanding advocacy mandates of each organization are carried forward in a mutually supportive and consistent framework; that despite the growing diversity the system works effectively on the basis of simplified and harmonized policies and procedure system; and that each United Nations system country team is equipped to respond rapidly and effectively to a wide range of requirements at the country level.

3. There is extensive evidence that when the resident coordinator function engages the collective responsibility of the country representatives of other organizations of the United Nations system and works towards collaborative programming, monitoring and evaluation on the basis of team-spirit and shared purposes and objectives, operational activities are more effective and have greater impact. There are many examples of resident coordinator system teams working on the basis of those principles in all parts of the world. With the right mix of good practices, the resident coordinator system can function and achieve the expected results, even within current constraints.

4. Although considerable progress has been made in improving coordination by initiating common databases, joint policy studies and policy dialogue, more progress is required, including results-oriented programming and management. The impact evaluations suggest a need to establish basic targets at the country level and a simple system to monitor and evaluate impact. The positive results achieved thus far can be summarized as follows: (a) promotion of joint advocacy has enhanced the effectiveness and impact of the United Nations support at the country level; (b) greater sharing of information and experience is taking place at an earlier stage in the decision-making process; (c) common data banks and indicators, such as the ones needed for common country assessments, are being established; (d) collaborative and joint activities involving more than one agency are increasing; and (e) responses to conferences are being pursued in a more consolidated manner.

5. Among the key constraints on improved coordination is the apparent contradiction between the increased demand placed on the resident coordinator system as a result of the changing and more complex requirements of responding to developing countries, the improved approaches and learned experience, and shrinking core resources available for United Nations system operational activities for development. That problem has been noted by a number of recipient countries, and many resident coordinators have emphasized its importance.

6. Responses by donor countries address the need for better coordination, while appreciating the progress made in that area; they emphasize the need to further strengthen the resident coordinator system.

7. Several recipient countries hold similar views. Many stress, however, that the strengthening of the resident coordinator system should not be an objective in itself but should lead to a better linkage of United Nations system activities with national objectives and improved support to national development programmes. Some comment favourably upon the effectiveness of the resident coordinator system in assisting resource mobilization efforts; others are more critical. The mobilization of external resources is considered by many recipient countries as a crucial support function for the United Nations system. Some recipient Governments express the view that the resident coordinator system has not yet realized its full potential. A few Governments have indicated that the resident coordinator system sometimes complicates dialogue between national authorities and individual agencies, and that coordination has focused on internal arrangements within the United

Nations system and less on effective relations between the system and its national partners.

8. The relationship between the resident coordinator system and the host Government was the object of an assessment provided to the Economic and Social Council in 1997. It identified a number of needed improvements: (a) an explicit government focal point for the resident coordinator system, and regular meetings between the resident coordinator system and this focal point, with agreed agenda and participation of various government organizations; (b) regular flow of information to the Government on the activities of the resident coordinator system; (c) expanded interaction between the Government and the resident coordinator system through various opportunities; and (d) capacity-building efforts to enhance the Government's coordinating role.

9. Recipient countries expressed concern that United Nations support does not always respond to national priorities, and there is inadequate participation of the Government in the activities of the resident coordinator system. In some cases, there is a need to establish better relations with the national partners. Periodic meetings with the host Government and improved consultation between the Government and members of the resident coordinator system were suggested by some countries.

10. Agencies consider the resident coordinator system as the key coordination mechanism of the United Nations system at the country level. They are becoming increasingly active participants in that mechanism, although the extent and degree of involvement is not uniform. Organizations without field representation express the fear that they risk being marginalized. The United Nations programmes and funds, especially since the introduction of reforms by the Secretary-General, are more deeply involved and committed to the functioning of the resident coordinator system. The establishment of the United Nations Development Group (UNDG) and its Executive Committee is fostering this trend at the headquarters level. United Nations system organizations agree that considerable progress has been made in strengthening the resident coordinator system: participation in consultation meetings and the launching of joint initiatives are an important achievement, and such initiatives as the country strategy note, common country assessments and UNDAF have had a positive impact on the resident coordinator system.

11. Further progress is required, according to agencies, in the following respects: (a) the need to improve the division of responsibility among United Nations system organizations within the framework of the resident coordinator system; (b) simplification and harmonization of policies and procedures within a context of decentralization; (c) a more equal level of delegated authority and decentralization of United Nations system organizations, including timely country level access to the resources of subregional offices; (d) the establishment of effective channels of communication and information between the resident coordinator and organizations without field representation; (e) special attention to the activities of the smaller technical agencies and their role in the development cooperation policies at the country levels; and (f) fuller information-sharing on the regional dimensions which are relevant at the country level, especially in the preparation of major frameworks (country strategy note or UNDAF) and when promoting the follow-up to global conferences.

1. Management of the resident coordinator system

12. The General Assembly decided in two resolutions that the United Nations Development Programme (UNDP) resident representative is normally the resident coordinator (see Assembly resolutions 34/213, para. 3, and 48/209, para. 4). Moreover, the Secretary-General's report on reforms (see A/51/950, para. 152) states that UNDP continues as the manager and funder of the resident coordinator system. The resident coordinator system will be strengthened by the selection of resident coordinators from all organizations concerned. The Executive Committee on Development Operations agreed on a series of measures designed to advance this process, while identifying some areas on which further consultations are required. Subsequently, the Secretary-General reiterated his position in a letter to the members of the Executive Committee of UNDG earlier in 1998, in which he asked that they focus on common efforts to strengthen the resident coordinator system based on the legislative link between the resident coordinators and UNDP resident representatives. A number of decisions have been taken or are under active review, including the selection and appraisal of the resident coordinator on the basis of an agreed job description, reporting procedures, competency-based assessment and related actions. The Executive Committee of UNDG has agreed to review all other remaining issues.

13. The current link between resident coordinators and resident representatives was endorsed in the responses to the triennial review questionnaires. A few responses have raised issues concerning the management arrangements of the resident coordinator function, referring in particular to the need to achieve greater collective "ownership" of that function by the United Nations system as means of furthering field coordination.

14. Both the ACC Consultative Committee on Programme and Operational Questions (CCPOQ) and UNDG agree that all members of the United Nations system country team have a dual responsibility, both as representatives of their respective organization and as members of the resident coordinator system. The notion of that dual responsibility thus applies to the resident coordinator and to all the members of the country team. Job descriptions are beginning to reflect that fact.

15. The issue of further strengthening the function of the resident coordinator is being addressed by UNDG. Among the issues being considered are the selection process, job description, the dual responsibilities of all representatives representing their organizations and being part of a team, as well as the funding of cooperative activities. Steps are being taken by UNDP to ensure appropriate handling of day-to-day operations of UNDP, whenever the workload of the resident coordinator function requires it. Specifically, all resident representatives have been instructed by the UNDP Administrator to give the highest priority to the resident coordinator system at all times and to solve any conflict in favour of the resident coordinator function. Moreover, if the resident coordinator function exceeds 75 per cent of his/her time, special arrangements are foreseen.

16. UNDG has agreed that annual work plans should be prepared collectively, including as a basis for performance evaluation of the entire resident coordinator system team. Furthermore, UNDG has agreed that there should be a shift in the resident coordinator system from inter-agency information-sharing to goal-oriented collaboration, while fully respecting the individual strengths and lead roles of each organization in their respective areas.

17. Some donors expressed the view that UNDP should continue to administer the resident coordinator system since changes in this management system would inevitably lead to losses in efficiency and effectiveness. Some support for a more participatory functioning of the resident coordinator system was indicated by a few countries. The view was also expressed that the resident coordinator should not be linked to any one organization. A few donor countries suggested that consideration be given to wider sharing of the financing of the resident coordinator system by the various United Nations organizations in addition to UNDP. One country suggested that the cost should be part of the regular budget of the United Nations system. Another country suggested that the resident coordinator should report directly to the Deputy Secretary-General.

2. Human resource management issues in the resident coordinator system

Recruitment and selection

18. Based on approaches agreed upon by CCPOQ and UNDG, steps are being taken system-wide to enlarge the "ownership" of the resident coordinator function by the system by widening the selection pool; using an advisory panel composed of representatives of organizations of the United Nations system for the selection of the resident coordinator; adopting competency-based assessments of candidates on the basis of agreed criteria and an agreed job description; and applying new appraisal procedures for resident coordinators, including the monitoring of an annual work plan formulated by the resident coordinator system at the country level. Specific results achieved in broadening recruitment are provided below. Some of the new measures will be applied for the first time late in 1998 and early in 1999; their effectiveness could be considered by the Council in 1999.

19. UNDP has the responsibility for developing post profiles for each country vacancy. It prepares a draft of the post profile in consultation with the United Nations system country team members, non-resident agencies and the host Government, as required in General Assembly resolution 50/120, paragraph 37(b).

20. Analysis of data on recruitment of resident coordinators shows that: (a) 35 per cent of the resident coordinators appointed in 1997 were from outside of UNDP, bringing the total of first assignments as resident coordinator from outside UNDP to 15; and (b) the pool of candidates for resident coordinator positions has now been widened to include, in addition to funds and programmes, the Food and Agriculture Organization of the United Nations (FAO), the International Labour Organization (ILO), the United Nations Educational, Scientific and Cultural Organization (UNESCO) and the World Health Organization (WHO). Those organizations currently submit candidates to the selection process. It should also be noted that resident coordinators and the host Governments are consulted on the formulation of a particular vacancy announcement for the resident coordinator position.

21. A special effort has been made to increase the number of women resident coordinators, pursuant to paragraph 43 of Assembly resolution 50/120; the results are shown in table 1.

22. Most donor countries consulted indicated that the selection procedure for resident coordinators should be even more transparent and should be based on a broader and

gender-balanced range of candidates, which should be accomplished by even wider consultations within the United Nations system and the introduction of an appropriate selection process.

Table 1
United Nations funds and programmes senior field-level representatives, by gender, 1995 and 1998

	1995			*1998*		
Agencies	*Female*	*Male*	***Total***	*Female*	*Male*	***Total***
United Nations resident coordinators/ UNDP resident representatives	21	110	**131**	24	107	**131**
UNICEF						
Regional Directors	4	1	**5**	3	5	**8**
Representatives	22	54	**76**	17	66	**83**
UNFPA						
Representatives	13	42	**55**	13	47	**60**
WFP	5	66	**71**	13	53	**66**

Training

23. Since the challenges before the resident coordinator system have become more difficult the training of resident coordinators and senior field representatives of the United Nations system is being improved. Under the aegis of CCPOQ, almost all United Nations system country teams participate in workshops at the United Nations Staff College, the International Training Centre of the ILO at Turin, Italy. New curricula are being developed for those workshops and for training courses aimed at both first-time and experienced resident coordinators. Furthermore, initiatives taken in several countries further those training activities through the use of retreats and local workshops.

24. Training requirements of the resident coordinator system team are being evaluated by UNDG, in cooperation with CCPOQ, including the country-level coordination workshops under the CCPOQ aegis and the United Nations Staff College. Training programmes for the resident coordinator system need to be strengthened, with emphasis on team-building, leadership and interpersonal skills and effective support to national programmes.

Workload

25. The increase since 1995 in the workload for system-wide activities, both for resident coordinators and senior United Nations representatives, reflects the strategic, upstream functions, coupled with programme and project responsibilities, as well as: (a) new initiatives of collaborative programming (such as common country assessment and UNDAF) or the intensification of other initiatives of similar nature (country strategy note, joint review of country programmes, preparing the policy dialogue with the host Government); (b) system-wide advocacy, including the coordinated preparation of, and follow-up to, global conferences and related actions; (c) promoting collaborative programmes/projects and corresponding intensification of the consultation processes; and (d) coordination of humanitarian assistance efforts, where applicable. Specific data are reviewed below; although wide variations exist among countries, there appears to be a trend towards an increase in the workload of the resident coordinator function. Similarly, there was an increase in the workload of the resident coordinator system, which affects the workload of all representatives of the United Nations system.

26. The 1995 report on the triennial comprehensive policy review (see A/50/202, paras. 138–139 and table 6) had illustrated the increasing role of the resident coordinator over the 1992–1995 period, not only in programme matters but also on security, humanitarian, common administrative and protocol issues. The time spent on the resident coordinator function was on a global average 39 per cent, with 41 per cent on UNDP activities, the remaining 20 per cent being devoted to representing various funds and programmes of the United Nations system.

27. In 1998, the time devoted to the resident coordinator function has increased in almost all programme countries. About 60 per cent of a sample of the resident coordinators consulted devote between 45 and 80 per cent of their work time to system-wide functions, while for another 25 per cent the resident coordinator function represents between 30 and 40 per cent of their time. Only 15 per cent of resident coordinators report between 15 and 30 per cent of their time devoted to that function.

28. As for the resident coordinator system workload for representatives of other United Nations system agencies, for 50 per cent of respondents it ranges between 10 and 15 per cent time, for 30 per cent of respondents it ranges between 15 and 30 per cent and for about 20 per cent of respondents it ranges from about 5 to 10 per cent.

29. The workload includes resident coordinator system functions with respect to the responsibility for security, administrative collaboration and the management of United Nations information centres, and in some countries the

coordination of humanitarian affairs (unless a special coordinator is appointed).

Performance assessment

30. Performance appraisal of resident coordinators used in 1997/1998 will benefit from a new system to be used in all organizations which identifies exceptional performance or major problems. Each organization is asked to base its appraisal on: (a) the annual work plan of the resident coordinator system; (b) the achievement of the resident coordinator system in the previous year; (c) the agreed competency framework, which defines the competencies required for successful coordination; and (d) the resident coordinator's job description, which is currently under development.

31. The competency model for the assessment of resident coordinator performance represents an attempt to establish an objective appraisal of potential candidates, requiring a competency assessment test, which should be operational by late 1998. New resident coordinator applications for 1999 vacancies will be assessed with this performance assessment, including on: (a) the ability to achieve agreed objectives; (b) stewardship skills of the United Nations system at the country-level; (c) ability to articulate a vision; (d) personal attributes; (e) team-building capacity; (f) capacity to manage relations with the Government; and (g) capacity to maintain relations with United Nations agencies.

3. The resident coordinator system and follow-up to conferences

32. Resolution 50/120, paragraph 39 addresses the role of the resident coordinator in facilitating a coherent and coordinated follow-up to major international conferences, in full consultation with national Governments. The implementation and follow-up to global conferences is a major focus of the resident coordinator system in most countries. To that end, CCPOQ agreed on specific guidance to be issued to the resident coordinator system on this subject, reflecting a system-wide position. As analysed further below, common programming frameworks and common databases are being developed, links with civil society are widening, and collaboration with Bretton Woods institutions and other partners is intensifying.

33. Based on field missions and a workshop with the participation of resident coordinators and representatives of the United Nations system and senior recipient country officials, broad, system-wide guidelines for the resident coordinator system have been finalized by CCPOQ and approved by ACC, and have been submitted to the resident coordinators and country representatives of all agencies and organizations of the system. Moreover, CCPOQ recently agreed to issue guidelines to the resident coordinator system on the field-level follow-up to global conferences, which have been presented by the Chairperson of CCPOQ at the special session of the Economic and Social Council in May 1998.

4. Field-level committees

34. More than half of the resident coordinators report that field committees review substantive activities and lead to the adoption of system-wide decisions. In a number of countries, the field-level committee functions well, reflecting the substantial engagement of the members of the country team to a system-wide approach. The field-level committee, at the senior representative level, is often supported by working groups and thematic groups.

35. Nonetheless, it is difficult to assess the extent to which real system-wide decisions and corresponding commitments of the country team with a bearing on the orientation, definition, approval and harmonization of new programmes are achieved. The experience in the functioning of the field-level committee following the introduction of UNDAF as a new mechanism to harmonize country programming will yield useful additional insights on this question.

36. In about 35 per cent of the countries examined, no formal arrangements for the participation of United Nations system organizations in the field-level committee seemed to have been adopted, even though "heads of agencies meetings" take place and help to define annual work plans. In many of those cases, the field-level committee has not been established due to limited United Nations system presence in the country or other prevailing conditions (e.g. political instability). Sometimes, the field-level committee meets but its role is very limited and does not include the review functions recommended by the General Assembly. Often, other types of arrangements for exchange of information appear to be preferred, on sectoral lines or in response to Government's demand or in coordination with other donors. In some instances, these appear to be working reasonably well.

37. In 10 per cent of the cases, the field-level committee is focused on the analysis of a number of relevant policy issues even though the committee appears more as a forum for discussion, a clearing house for information and an opportunity to promote contacts also with other partners, such as the Bretton Woods institutions, other donors and Government representatives, than a decision-making body. Although in its resolutions 47/199 and 50/120, the Assembly

highlighted the importance of the relationships with the national Government in the functioning of the field-level committee, several recipient countries have expressed the view that they wish to be more closely associated with the work of field committees.

5. Thematic working groups

38. Thematic working groups represent a modality frequently adopted to foster collaboration at the country level. In 1997, such groups could be found in 84 out of 107 programme countries. Those groups often facilitate the formulation of the country strategy note, the common country assessment or more recently, UNDAF, and they undertake coordination of follow-up to conferences.

39. Some groups include only representatives of the United Nations country team and are led by a lead agency. They play a role of internal coordination among United Nations organizations. They promote advocacy on common issues and assist the United Nations system in defining joint positions as part of the resident coordinator system. In other cases, they promote information-sharing, with limited substantive coordination. There are also cases with a wider membership, including the Bretton Woods institutions and bilateral donors or national representatives from the Government or other national entities. Sometimes the leadership is provided by the World Bank or a major bilateral donor.

40. There are a number of working groups led by national authorities; some were suggested by national authorities, others were established in response to suggestion of external partners.

41. The variety of thematic working groups depends on the different origins and tasks of each group. Standardization of these structures is not desirable. Thematic groups increase the participation of various United Nations system organizations in the resident coordinator system. Increasing utilization of thematic groups in the preparation of global frameworks, such as the country strategy note, common country assessment and UNDAF, must be noted.

6. Funding provided to resident coordinator system

42. UNDP, based on its tripartite relationship with the United Nations development system, is providing its comprehensive, global network of country offices and financial resources to support the resident coordinator system. This is done essentially through five major instruments: (a) the UNDP administrative budget; (b) special programme resources, which have been used in the past to support round tables and other aid coordination mechanisms; (c) a specific allocation from core resources to support the resident coordinator system throughout the world; (d) funds made available through UNDP country cooperation frameworks for the specific purpose of assisting Governments in better managing their official development assistance (ODA), and in the case of crisis and post-crisis countries; (e) the Executive Board has also made available a specific allocation of funds to support priority activities in the field of governance, rehabilitation and reintegration of displaced persons, mine clearance and other activities, which are linked to a broad, multisectoral approach to reconstruction and development. A few Governments have indicated a preference for a wider sharing of the cost of the resident coordinator function; this view is usually linked with other suggestions concerning the management arrangements of the resident coordinator function.

43. In 1995, the UNDP Executive Board, in its decisions 95/22 and 95/23 on the future of UNDP and on the successor programming arrangements of the 1997-1999 period, set aside 6 per cent of total UNDP allocation for resident coordinators to support the United Nations system and aid coordination. The new facility covers: (a) programme support to resident coordinator/aid coordination (1.7 per cent), which includes collaborative programming, promoting and building country-level information about United Nations global initiatives (such as facilitating national preparations and follow-up for United Nations conferences) and rationalization of common services and premises; and (b) support to United Nations system operational activities (4.3 per cent): it covers resident coordinator/resident representative activities in the following areas: support to non-UNDP programmes for which resident coordinators/resident representatives are responsible, assistance to Governments in aid coordination efforts, security related matters covering all United Nations personnel in a country, and support to United Nations system agencies for their regular and trust fund programmes.

44. A very small fraction of the total UNDP allocation for resident coordinator system funds are intended to allow resident coordinators to respond quickly to opportunities for the United Nations system collaboration. Each funded activity is designed to act as a catalyst for the development and strengthening of country coordination initiatives. Funds are also provided as seed money to facilitate joint endeavours of the United Nations system for which it is expected that United Nations agencies, donors and/or the Government will provide direct or in-kind contributions.

45. The actual distribution of the 1996 expenditures ($2,586,207) covered the following five main areas:

Areas of programme support to the resident coordinator	*Actual expenditures*	*Number of requests*
Strategic policy dialogue and instruments (country strategy note)	$338 470	38
Harmonization and coordination: thematic groups and United Nations conference follow-up	$496 879	52
Harmonization and coordination: field-level committees and collaborative programming initiatives	$600 459	60
Public information, including in the areas of United Nations conferences	$416 076	58
United Nations common premises and services	$714 323	57
Total	**$2 586 207**	

46. Resident coordinator funds enable resident coordinators to undertake a range of common activities for the United Nations field system – follow-up to global conferences, mainstreaming gender, preparation of country documents, such as UNDAF, the country strategy notes, human development reports, support for activities of the Joint and Co-sponsored United Nations Programme on HIV/AIDS, improving information systems and preparing information material, and other coordination facilitating initiatives – which have contributed to consolidating the resident coordinator system.

47. The funds designated by the UNDP Executive Board have so far been among the only direct contributions by other United Nations system organizations. United Nations organizations and their governing bodies have not been forthcoming in allocating resources to common activities. There is little incentive for United Nations system field offices to be more active in developing collaborative activities through pooling of resources.

B. Cooperation with the Bretton Woods institutions

48. The present report focuses on United Nations-Bretton Woods institutions relations in operational activities at the field level. The representatives of the World Bank and the International Monetary Fund (IMF) are increasingly associated with the United Nations country team, though they are not formally members of the resident coordinator system.

49. All groups of respondents to the questionnaires favoured greater United Nations-Bretton Woods institutions cooperation for more effective synergy of United Nations system development assistance. While recognizing differences in perspectives, mandates, structures, methods of work and resources, they generally felt that all had much to offer and much to gain through greater interaction. This was seen as increasingly important with the growing convergence of substantive concerns, especially regarding poverty and follow-up to the global conferences. World Bank decentralization of authority and stronger representation in borrower countries were universally welcomed. Also, the United Nations, through the resident coordinator system, was becoming more involved in policy dialogues among development partners, upon government request, as foreseen in paragraph 21 of resolution 50/120.

50. Recipient government respondents tended to support strengthened linkages, while respecting separate functions and emphasizing the Government's lead role. They urged greater harmonization of interventions for more effective support of national efforts. Several noted an increased Bretton Woods institutional collaboration with parts of the United Nations system that have a tradition of engagement in the social sectors and capacity-building. They urged more of this, for mutual benefit.

51. Donor government respondents focused on "comparative advantage" as a major theme. They emphasized the importance of United Nations neutrality, normative functions and mandates, work in the social sectors, and close relations with recipient Governments. The advantages of the Bretton Woods institutions were seen as resources, scale and range of operations and focus on macroeconomic issues. They urged more dialogue and synergy, rather than overlap or competition. They saw United Nations agencies as having a strong basis for collaboration but in more of a catalytic role owing to the limited resources at their disposal. Mention was made of the World Bank paper "Strategic compact: a plan for renewal", adopted by its Executive Board in 1997, which places a new emphasis on building new partnerships with other development organizations.

52. Resident coordinator system respondents emphasized that greater interaction has led to greater understanding, which has led to greater collaboration. Responses reflected a wide variety of country situations and relationships. Some countries received visiting missions from the World Bank and IMF; most others had resident staff. Aid coordination mechanisms included round tables organized by UNDP, consultative groups organized by the Bank, joint United Nations-Bretton Woods institutions support to Governments

for its relations with donors, or no regular involvement at all. In some countries, Bretton Woods institutions missions involved or informed other entities of the United Nations system; in others not. In some countries, resident Bretton Woods institutions staff had little contact with other members of the United Nations country team; in others, they were regular participants in field-level committees, shared data and findings, collaborated in common country assessments and UNDAF preparation, engaged in policy dialogue, chaired thematic groups, and/or financed joint or collateral activities. According to the resident coordinators, the most satisfactory relations were the most open. They regularly extended invitations for greater Bretton Woods institutions participation in the United Nations country team. The experiments in Viet Nam and Mali for reciprocal involvement in preparing the UNDAF and the World Bank country assistance strategy, were welcomed. While acknowledging the significance of Bretton Woods institutions mandates and resources, resident coordinators had a strong sense that the system had much to offer in a more collaborative environment.

53. Agency headquarters respondents expressed a variety of views. Some sought greater use of agency expertise in Bretton Woods institutions activities, more co-financing and more involvement in Bretton Woods institutions policy issues. Others explored the term "comparative advantage", seeing the United Nations closely involved with the evolution of the global consensus on thematic issues; associated with numerous intergovernmental bodies; mandated for work on international norms and standards, as well as increasingly on advocacy; related to many non-governmental organizations; a producer of various databases and analyses; possessing an array of specialized skills; and engaged in many forms of operational activities, especially for broad-based and people-oriented sustainable development. Agencies expressed some preference for an improved division of labour to take fuller advantage of their capacities, and they generally welcomed Bretton Woods institutions attention to issues of long-standing concern. Respondents further noted many areas of joint action. Also cited was joint membership in collaborative undertakings – the Global Environment Fund (GEF), the United Nations Environment Programme (UNEP) and UNDP; the UNAIDS Group of WHO, the World Bank, UNDP, UNFPA, UNESCO and the United Nations Children's Fund (UNICEF); the United Nations system-wide Special Initiative on Africa, with a steering committee co-chaired by the Economic Commission for Africa, UNDP and World Bank; collaboration in countries emerging from conflict; various jointly funded programmes; and numerous task-oriented inter-agency committees and working groups.

C. Aid coordination and management

54. The United Nations development system, particularly through the resident coordinator, has long been involved in working with other partners through various mechanisms, including round tables and consultative groups. Both recipient Governments and bilateral donors have found support to aid coordination and management useful and necessary. In many cases, resident coordinators are convening regular meetings of all donor countries, often attended by ambassadors and World Bank representatives. Such meetings, convened with the consent of the host country, serve to exchange information, bring the donor community and the Government together and prepare for consultative group meetings. Non-governmental organizations are often invited to participate on relevant issues. Some countries have identified enhanced support to national responsibility in aid coordination and management as an area in which the United Nations has a clear comparative advantage.

D. Decentralization and delegation of authority

55. Nearly half of the resident coordinators report that during the past three years, delegation of authority to the country level has taken place in almost all United Nations agencies, although to different degrees. Several specialized agencies still require that policy and financial questions be referred to their regional/global headquarters for decision. There is, however, increasing convergence in the pattern of delegation of authority among the funds and programmes. As reported by many resident coordinator systems, collaborative programming and coordinated response to national priorities would be further enhanced if all entities of the United Nations system granted their field representatives the authority to approve individual projects or programmes once the general cooperation framework and overall budget envelope have been approved.

56. Decentralization and delegation of authority to the field has a positive impact on the strengthening of the resident coordinator system and on greater cooperation among United Nations system organizations. By the same token, inadequate and uneven decentralization and delegation of authority inhibits cooperation. Thus,

implementation by United Nations system agencies of common initiatives at the field level often depends on prior clearance and instructions and on support and follow-up from the respective headquarters. A number of resident coordinators confirm that the unequal delegation of authority constitutes one of the main obstacles to achieving collaborative programming and a more coherent United Nations system response to national priorities.

57. Member States favour increased decentralization and delegation of authority on both policy and financial matters to country levels and the harmonization of delegation of authority among United Nations organizations. Most call for harmonization of rules and procedures and decentralized decision-making with the aim of achieving equal levels of delegated authority as foreseen by the General Assembly in its resolution 47/199.

58. Specific action taken by the funds and programmes shows that since 1997, UNDP country offices have full delegated authority to approve, modify or cancel all core budget resources for the current programme cycle within the framework of projects included in the new country cooperation framework approved by the UNDP Executive Board (some $100 million) (excluding programme countries for which the Board has specifically mandated UNDP headquarters to approve all activities on project-by-project basis, i.e., Afghanistan, Myanmar, Iraq, Somalia, the Federal Republic of Yugoslavia, the Democratic Republic of the Congo and Liberia). The proportion of UNDP field-level personnel in 1997 reached 82 per cent, compared with 18 per cent at headquarters (for comparative ratios of headquarters to field-level staff in various United Nations bodies, see table 2).

59. UNICEF has delegated authority for the approval and review of country programmes and budgets for country offices to the regional offices since 1997. Newly established programme and budget review committees review and approve at the regional level, within the overall resource envelope, the country programme management plan, including the country support budget, submitted by the country team, and submit them to headquarters for consolidation purposes only. Decentralization of budget planning and administration will be phased in over the next three years. After its implementation, the budget function in headquarters will be in areas of coordination, overall resources analysis, monitoring and oversight.

60. As of 1996, the United Nations Population Fund (UNFPA) delegated to the country level authority to redeploy funds and revise budgets within defined limits (allotment blocks). Gradual delegation of authority was made possible by the introduction of new programming tools. In the administrative management area, UNFPA also delegated further authority to its representative.

61. For the past three years, the World Food Programme (WFP) has been undergoing an active process of decentralization and delegation of authority from headquarters to the field offices. Eight regional offices ("clusters") were created in 1997. The decentralization is being accompanied by greater out-posting of technical support staff in such areas as personnel, finance, public relations, procurement and project/programme design. The country director has authority to approve programme activities and projects within the country programme once the WFP Executive Board has approved the country programme document (which gives an outline of major areas of WFP intervention in the country and an indicative level of resources to be made available).

62. A number of specialized agencies (UNESCO, the United Nations Industrial Development Organization (UNIDO), FAO , the ILO and WHO) have also modified their field-level operational procedures towards greater decentralization. UNESCO has delegated to its directors/ heads of field offices the overall responsibility for general administration and management matters, in particular the administration of personnel assigned to the office and financial management and disbursement. UNESCO plans to delegate additional authority for cancelling, modifying and adding activities within approved programmes, and for shifting resources within the approved budget lines of individual components of the programme and among components of a programme. UNIDO does not operate formal country programmes with earmarked resources; however, within its current reform process, steps are being initiated to delegate greater authority to field offices with regard to project development, formulation and implementation. FAO is going through a process of decentralization of its operations, with five subregional offices already established. A significant amount of authority has been delegated to regional FAO offices. The ILO is continuing to delegate authority to the field level through decentralization under its active partnership policy, under which programme/technical cooperation and delivery is based on the priority needs, problems and concerns of its constituents. In some regions, WHO is pursuing a clearer delegation of authority to the country level related to modifying and adding activities within approved programmes, shifting resources within approved budget lines.

63. In paragraph 38 (b) of resolution 47/199, the General Assembly decided that the United Nations system at the

country level should be tailored, taking into account the views of the recipient Government, to the specific developmental needs of the country in such a way that they correspond to ongoing and predicted cooperation programmes rather than to the institutional structure of the United Nations. Responses received for the preparation of the present report indicate that development challenges are becoming more complex, requiring greater cooperation and the convergence of the work of different organizations in the follow-up to global conferences. Thus, the requirements and opportunities for "shared skills" among United Nations system organizations are increasing. Current practice does not include consultations to build a "skill profile" that is complementary and promotes synergy.

Table 2
Ratio between headquarters and field-level personnel in United Nations agencies with field presence, 1992, 1995 and 1997
(Percentage of total)

	1992		1995		1997	
Agency	*Hqs*	*Field-level*	*Hqs*	*Field-level*	*Hqs*	*Field-level*
UNDP	19.3	80.7	17.3	82.7	17.8	82.2
UNFPA	62	38	55.5	44.5	42	58
UNICEF	15	85	14.6	85.4	14.5	85.5
WFP[a]	27	73	26	74	29	71
UNESCO	81	19	79	21	78	22
UNIDO	91	9	89	11	87	13
FAO	52.33	47.7	56.6	43.5	54.2	45.8
ILO	80	20	71	29	71	29
WHO	42	58	41	59	38	62

[a] WFP does not recruit project personnel.

E. Common premises

64. UNDG agreed that in defining the "United Nations House" (see A/51/950, action 10) it should be all inclusive, bringing together all staff of resident United Nations funds, programmes and (whenever feasible and cost-effective) agencies in a given country. However, during appraisal missions to study feasibility of the concept in three pilot countries, a number of constraints surfaced, such as the dearth of appropriate buildings and the high costs involved. UNDG introduced a definition of a United Nations house applicable to the funds and programmes, which will aim to house their country representatives in the designated United Nations house. Other United Nations entities and the Bretton Woods institutions are encouraged to join.

65. The UNDG Subgroup on Common Premises and Services has identified 136 countries in which United Nations funds and programmes have a presence, of which 65 have all four programmes present; the current situation is summarized in tables 3 and 4.

Table 3
Current status of premises of four funds and programmes in all countries

Type of premises	*UNDP*	*WFP*	*UNICEF*	*UNFPA*
Common	49	35	26	47
Shared	57	7	7	34
Alone	25	35	89	16
Not represented	1	57	12	37
Not applicable	4	2	2	2
Total	**136**	**136**	**136**	**136**

Table 4
Current status of offices of four funds and programmes in the 65 countries where all four have a field presence

Type of premises	*UNDP*	*WFP*	*UNICEF*	*UNFPA*
Common	35	32	13	35
Shared	24	4	1	18
Alone	6	29	51[a]	12
Total	**65**	**65**	**65**	**65**

[a] UNICEF has standing arrangements for free accommodation in a number of countries.

66. UNDG has approved a new methodology for the analysis of potential common premises and detailed work plan with specific time-frames, and has established a prioritization schedule for analysis of potential future common premises (United Nations houses) in the field, with three tiers of priorities. Ten "tier one" countries are slated to receive site missions and assessments for possible conversion into common premises during 1998; 20 "tier two" countries will be targeted for 1999; and another 20 "tier three" countries will be selected for analysis in the year 2000. Criteria for the selection of the 10 "tier one" countries

included critical lease dates, rental obligations, potential cost savings, office space issues, staffing requirements, security concerns, programmatic collaboration and geographical diversity. CCPOQ has explored the subject of common premises, and has concluded that in view of long-standing arrangements with host countries and decisions of its governing bodies, common premises are feasible only when significant cost-savings and improved working relations with the Government are evident.

67. Member States welcome and support the Secretary-General's proposal for a United Nations house and common services. They emphasize that insufficient progress has been made so far in improved effectiveness and efficiency through the establishment of common premises. They favour consolidating United Nations system presence at country level into common premises, although they want it to be done flexibly, proceeding on a case-by-case basis and taking into account local circumstances, due analysis of costs and benefits, and – in cases where the existing premises are satisfactory – by integrating the various components of the United Nations system through improved internal communication systems.

Common services

68. Common services are currently shared in a number of countries where agencies have common or shared premises. To build on that experience, CCPOQ, in cooperation with UNDG, is preparing guidelines on administrative management for the resident coordinator system.

69. The United Nations Office for Project Services (UNOPS), as an autonomous body within the United Nations, is introducing private-sector practices in the administrative management of operational activities, which is seen as a distinct and specialized function, different from technical backstopping. UNOPS has developed expertise in recruitment and placement of experts, procurement, tendering and contracting (UNOPS has opened a procurement office at Copenhagen, which probably can be described as the United Nations procurement centre) at very competitive rates, while maintaining high standards of performance. UNOPS can also be seen as part of a new and fledgling phenomenon within the United Nations system: the phenomenon of establishing intersectoral, thematic units, such as UNAIDS, GEF and the Administrative Staff College. This trend should contribute to greater cohesion within the United Nations system.

F. Role of technical agencies in the field

70. Agencies are fully supportive of national execution but are concerned that the way it has been carried out has diminished opportunities for them to play their full part in development cooperation (for trends in grant-financed development expenditures of specialized agencies, in particular UNDP, see table 5). Modalities designed to enable them to contribute in the context of national execution have not met their expectations. Also, agencies see a tendency on the part of UNDP, the World Bank and others to build sectoral expertise parallel to or superseding theirs. Their participation in such processes as the country strategy note, the programme approach and the resident coordinator system is not uniform and does not always facilitate their involvement. Some donor Governments mention the problems of the marginalization of work of the United Nations technical agencies.

Table 5
Expenditures on grant-financed development activities by United Nations specialized and technical agencies, and UNDP share, 1986–1996
(Millions of United States dollars)

	1986	*1988*	*1990*	*1992*	*1994*	*1996*
Total[a]	1 101	1 266	1 434	1 304	1 137	876
UNDP[b]	404	451	692	371	213	144

Source: The Secretary-General's statistical reports on operational activities for development.

[a] Including FAO, IAEA, ICAO, ILO, IMO, ITC, ITU, WHO, WIPO, WMO, WTO, UNESCO, UNIDO and UPU.

[b] Including UNDP administered funds and trust funds.

71. United Nations system agencies are interested in being fully involved at the country level in strategic frameworks, such as the country strategy note and UNDAF in line with their mandates and as a means to implement cross-cutting and sectoral priorities arising from recent United Nations conferences and summits. Some agencies are emphasizing or re-emphasizing the strengthening of their field presence at country or subregional level. UNESCO has been making such placements, and the Economic Commission for Africa (ECA) has been strengthening its Multinational Programming and Operational Centres into subregional centres. At the same time, however, UNDP is at an initial stage of opening a series of subregional resource facilities with the stated purpose of strengthening technical and other

support to country offices. Recently, UNIDO has taken strong steps to strengthen its field presence.

II. Strategic frameworks and programming

72. To carry out its advocacy mandates and contribute to the policy dialogue, the United Nations system has intensified its use of the various consultation mechanisms and processes that are in place, to include:

(a) Consultations within the resident coordinator system;

(b) Consultations with government representatives;

(c) Consultations with civil society;

(d) Consultations with other donors.

73. The lessons learned with the use of these mechanisms can be summarized as follows:

(a) The involvement of representatives of the United Nations system and the Government in these consultation processes varies from highly participatory to very limited, especially in the case of government representatives. Although in some countries the lead agency concept allows adequate participation of several organizations in the process, there is still a need to extend its use. In other cases, public authorities play a limited function. There is an increasing demand for an extension of system-wide consultation mechanisms to government;

(b) The consultation process is more effective when Government's participation is not limited to coordinating authorities but also extended to line authorities;

(c) System-wide responsibilities are centralized in the resident coordinator and the United Nations funds and programmes, although representatives of specialized agencies can play an important role. Regional commissions, smaller agencies and organizations with no country representatives are not being associated with country-level consultations with the same intensity;

(d) The involvement of the Bretton Woods institutions has increased, especially on information exchange and consultation on policies and programmes. The interest of the Bretton Woods institutions and the United Nations system in ensuring complementarity between respective strategic exercises has generated opportunities for collaboration, which have been intensified by the recent trend towards management decentralization in World Bank;

(e) The involvement of other development cooperation partners is deemed crucial but does not take place consistently, although there are examples where the resident coordinator system is entrusted by the host country with a special catalytic role in support of external assistance coordination, which remains a responsibility of national Government;

(f) The involvement of non-state partners in the policy dialogue with the United Nations system, although still limited to specific examples, is increasing rapidly.

Common situation analyses and country assessments

74. Joint country-based situation analyses are a key step in formulating strategic frameworks and a prerequisite for system-wide efforts to harmonize programming activities. Typically, they involve the establishment of agreed indicators and a shared database. The indicators form the basis of an analysis and assessment of trends in economic and social sectors. Each organization brings its particular expertise and mandates to a process of a joint review on such broad cross-cutting themes as poverty. Although several United Nations system organizations conduct this type of analysis individually when they programme their own activities, coordinated system-wide efforts have benefited from new initiatives of the Joint Consultative Group on Policy.

75. JCGP took the initiative in 1997 to launch the common country assessment as the basis to follow up requirements to global conferences and harmonize the system's support to national programmes. The common country assessment involves a common database and assessment, and constitutes a basic step for the country strategy note and UNDAF. Its usefulness might extend to all stages of programming. Although the country strategy note guidelines foresaw the use of a joint situation analysis, the country strategy notes so far adopted do not explicitly reflect that type of analysis. Only the introduction of UNDAF has made the common country assessment a key step in strategic programme formulation. The common country assessment could contribute to the updating of the country strategy notes and strengthen the advocacy role of the system. Resident coordinators confirm that in most programme countries, initiatives to establish a common country assessment are under way or are planned.

76. A country-specific adaptation of the common country assessment concept is proving to be essential. The common country assessment is carried out either through working groups promoted by the United Nations country team or

other country-specific initiatives. The Government's involvement in the common country assessment remains an issue. The common country assessment can enrich the dialogue with the Government and non-governmental organizations while monitoring development trends and be an area to promote national capacity-building.

A. Country strategy note

77. The country strategy note, launched by the General Assembly in its resolutions 47/199 (para. 9) and 50/120 (paras. 17 to 19), is voluntary and is prepared by the Government with the assistance of and in cooperation with the United Nations system organizations under the leadership of the resident coordinator; it has been adopted in 33 countries to date. Other approaches have been used elsewhere to provide a consistent response to the host country's needs, such as the UNDAF concept or ad hoc arrangements.

78. Table 6 compares the status of the country strategy note in 1995 to its status in May 1998.[1]

79. An assessment of the country strategy note process reveals that:

(a) When the process functions well, the country strategy note can substantially contribute to a policy dialogue, can advance advocacy of goals, and does provide a coherent and authentic frame of reference for programming;

(b) The preparation of the country strategy note promotes exchange of information among United Nations system organizations, increases their coordination and is a team-building process due to the pursuit of shared, system-wide objectives;

(c) Country strategy notes formulated in the last three years increasingly focus on the outcome of global conferences and the national commitments to implement them;

Table 6
Country strategy note status, 1995 and 1998

Number of countries	*1995*	*1998*
Country strategy note completed and adopted by Government	8	33[a]
Final draft being considered by the Government for approval	6	6[b]
Formulation process not completed or at a very initial stage	72	51
Subtotal	86	90
Government does not intend to pursue the country strategy note	6	17[c]
No decision about pursuing the country strategy note has been expressed	39	36
Total	**131**	**143**

[a] The countries are: Benin, Bolivia, Botswana, Burkina Faso, Comoros, Costa Rica, Eritrea, Georgia, Ghana, Guatemala, Guinea, Indonesia, Jamaica, Kenya, Lao People's Democratic Republic, Mali, Mauritania, Mauritius, Mexico, Morocco, Mozambique, Nigeria, Pakistan, Papua New Guinea, Philippines, Republic of Moldova, Senegal, Sudan, Thailand, Turkey, Ukraine, Viet Nam and Zambia.

[b] These countries are: Colombia, Gambia, Guinea-Bissau, Namibia, Niger and Syria; there were six final drafts under consideration in 1995.

[c] These countries are: Bhutan, Chile, Cuba, Democratic People's Republic of Korea, Estonia, Ethiopia, India, Kuwait, Latvia, Lesotho, Libyan Arab Jamahiriya, Malaysia, Nepal, Poland, Saudi Arabia, United Arab Emirates and Samoa; the Governments of these countries are not necessarily opposed to the concept of the country strategy note but do not believe that, in their current circumstances, they should pursue it.

(d) In some cases, host Governments acknowledged that monitoring the country strategy note process is an integral part of their efforts to programme United Nations system activities;

(e) The support to country strategy note formulation through country workshops, such as those conducted in the framework of the United Nations Staff College, proved to be effective, given the high rate of completion of country strategy note in countries where these workshops took place. Support to capacity-building for monitoring and evaluation is also relevant.

80. A number of factors limit the value of the country strategy note and hamper its effectiveness:

(a) Country strategy note formulation is often focused on the production of the document and less on promoting a broad and inclusive policy dialogue between the

United Nations system and the Government, and within the United Nations system itself;

(b) Instead of being the initial step for a coherent programming cycle, it is often an isolated exercise without follow-up;

(c) The participation of national authorities (especially of line authorities) was sometimes inadequate, leaving the preparation of the country strategy note in the hands of the United Nations system;

(d) The participation of United Nations system organizations is not consistent. The involvement of those that are not represented in the country is, in general, limited;

(e) The excessive use of consultants to facilitate the drafting of the country strategy note in many/some cases may have reduced its ownership by the various partners;

(f) National objectives were seldom indicated as time-bound targets, with explicit mention of quantified goals or benchmarks, geographical priorities and target groups, thus making the country strategy note too general;

(g) The level of resources required for attaining the goals enumerated in the country strategy note were seldom indicated, even if a description of the contribution from system organizations was included;

(h) Monitoring, evaluation and implementation modalities were seldom indicated in systematic terms. Periodic reviews of the country strategy notes were sometimes scheduled but mechanisms to this end were not always foreseen;

(i) In some cases, the adopted country strategy note has limited impact on current activities, even though its priorities are formally recognized in agency-specific programming documents.

81. Member States express different views on the need for system-wide strategic programming frameworks and the validity of the country strategy note. The great majority of developing countries and many donor countries assess the country strategy note as a useful tool for policy dialogue. In their view, country strategy notes provide an effective strategic framework for the Government to programme and coordinate United Nations system's support and an instrument to mobilize additional resources, as well as providing a coordination tool. Some of those positive statements were made also by countries that have not yet approved a country strategy note or decided not to pursue it.

82. The following issues were emphasized by recipient countries:

(a) Inadequacy of the institutional arrangements for the follow-up phase of the country strategy note;

(b) Inadequate simplification of programming procedures of individual organizations, in particular excessive pre-programming requirements;

(c) Need for mid-term revision of the country strategy notes to appraise their impact on longer development;

(d) More flexibility should be allowed in the use of the country strategy note to meet special countries' needs;

(e) Objectively identifiable and measurable indicators should be included;

(f) Participation of civil society should be encouraged;

(g) Coordination among United Nations system organizations should be further enhanced.

83. Some developing countries express more substantive reservations on the country strategy note process, suggesting that country strategy notes are suitable only in countries with a high share of international cooperation from the United Nations system. Therefore, the voluntary approach adopted by the General Assembly in pursuing the country strategy note should be continued.

84. Donor countries also provide a mixed assessment of the country strategy note. Many note the lack of information to evaluate the impact and validity of the country strategy note, suggesting that the approach should be evaluated and revisions should be considered. Some donor countries criticize the country strategy note either as an effective basis for programming or for the way the modality is being applied (the excessive use of consultants and the inadequate treatment of the division of labour among system organizations), and suggest that the country strategy note should be overtaken or complemented by UNDAF. Others recognize the value of the country strategy note in some programme countries but not in others, and support the establishment of UNDAF. A third group of countries stress the complementary role of UNDAF, the common country assessment and the country strategy note, and believe that UNDAFs should reflect the priorities identified in the country strategy notes. Several donors have expressed regret that few recipient countries have utilized the country strategy note, which questions its overall utility.

85. Several organizations have expressed continued support for the country strategy note based on the involvement in its formulation and the contribution that that mechanism provides in facilitating policy dialogue and

advocacy at a high strategic level and orienting their own programming. Some organizations have indicated that the effectiveness of the country strategy note process depends on the Government's leadership role in the preparation phase, the availability of adequate support from the resident coordinator system and the opportunity for a productive dialogue with national authorities.

86. Others, especially those without field representation, have stressed their inadequate involvement in the country strategy note. Some have doubted the value added of the country strategy note as an inter-agency coordination mechanism, and suggested a thorough assessment of the country strategy note experience as compared with countries which did not adopt the country strategy note mechanism.

87. System organizations also stress a number of limitations in the country strategy note process:

(a) The formulation of the country strategy note has often been product-driven;

(b) The use of consultants hinders the dialogue with the Government;

(c) The final document is often too general to serve as a basis for programming;

(d) Follow-through on issues raised by the country strategy note is often inadequate, limiting its impact on the application of the programme approach;

(e) Country strategy note preparation is too complex and discourages the participation of agency staff;

(f) The approach adopted has been excessively sectoral, not suitable for tackling cross-sectoral themes;

(g) The country strategy note has neglected to set targets, time-frames and development indicators to assess progress;

(h) Scarce impact of the country strategy note on resource mobilization;

(i) Absence of a regional dimension;

(j) Inadequate reference to the activities of other donors.

B. United Nations Development Assistance Framework

88. The purpose of UNDAF is to achieve goal-oriented collaboration in preparing a single framework with common objectives and time-frame. The preparation will lead to collaborative programming and close consultation with Governments, and will include compatibility with country strategy notes, wherever they exist. The concept is being tested in 18 pilot countries (see table 7) on the basis of provisional guidelines which were presented at two informal joint meetings of the Executive Boards of UNDP/UNFPA and UNICEF.

89. In implementing the pilot phase, teams of inter-agency facilitators, after appropriate orientation training, were made available to country teams in the pilot countries to assist in the use of the provisional guidelines. A network of UNDAF focal points and antennas were identified, and training sessions took place to ensure full support to the pilot experience. The pilot UNDAFs are beginning to show the potential of this process. In one of the first countries to complete a UNDAF, the document was signed in the presence of the Government and most United Nations system organizations represented in the country, including the World Bank and IMF.

90. The UNDAF provisional guidelines foresee 10 stages:

(a) Review of national authorities' measures to translate global conference commitments and United Nations system mandates into country-level action plans;

(b) The United Nations country team initiates consultation with the Government on national priorities (country strategy note, national plans etc.);

(c) Identification of key indicators, data collection, establishment of common database;

(d) Theme groups are organized to dialogue with the Government, non-governmental organizations, donors and others;

(e) Preparation of the common country assessment document;

(f) The United Nations country team and the theme groups consult with civil society representatives, donors and others on emerging strategic programme policy issues;

(g) Relevant United Nations system lessons learned from development cooperation at country level are identified;

(h) The UNDAF document is prepared and approved by United Nations country team;

(i) Preparation of individual country programmes, review by the country team and approval in accordance with the procedures of each entity;

(j) Implementation, monitoring and evaluation.

91. Several developing and donor countries expressed support for UNDAF. Most donors considered UNDAF to be

potentially an efficient instrument for organizing United Nations system team work in the field, increasing harmonization of programming and reducing duplication. Many developing countries emphasize the potential role of UNDAF as a useful common country programming tool.

92. However, most recipient Governments reveal little awareness of UNDAF. Those who refer to UNDAF consider it premature to assess it at this time. In general, they stress that the specific requirements of each region and country, particularly the development plans of each country, should be the basis of UNDAF, and that the involvement of the Government in the formulation process requires attention. Several recipient countries wish to preserve the benefit of drawing on the individual identity, resource mobilization and technical support of each organization in the context of a single framework for programming.

93. Most donor countries and many recipient countries make specific recommendations on the UNDAF process:

(a) Following the current pilot phase, UNDAF should become the sole reference and programming document for the whole United Nations system, starting with the harmonization of programme cycles and ending with a collaborative country programming, which should substitute other programming exercises, while preserving the separate mandates of each organization;

(b) All funds and programmes, specialized agencies and Bretton Woods institutions should be involved in the UNDAF exercise from the start, as well as other stakeholders and bilateral donors;

(c) The operationalization of UNDAF by linking it to individual country programmes needs to be further explored.

94. Some agencies expressed the view that UNDAF is still conceived as a programming framework for funds and programmes only, and thus does not concern them directly. Nonetheless, some have expressed interest in participating during the formulation of UNDAFs in pilot countries.

Complementarity of the country strategy note and the United Nations Development Assistance Framework

95. Where the country strategy note exists, the United Nations Development Assistance Framework offers an opportunity for United Nations funds and programmes (possibly also other system organizations) to provide a United Nations response to an authoritative statement of national requirements, and to define and integrate support provided in a more coherent manner, while respecting the distinctiveness and specific focus of each organization (see A/51/950, paras. 50 and 72).

Table 7
UNDAF pilot phase countries

Africa	
Ghana	Country strategy note completed by Government
Kenya[a]	Country strategy note completed by Government
Madagascar[b]	Preliminary draft of country strategy note prepared
Malawi[b]	Preliminary draft of country strategy note prepared
Mali[b]	Country strategy note completed by Government
Mozambique[b]	Country strategy note completed by Government
Namibia[a]	Final draft of country strategy note being reviewed by Government
Senegal	Country strategy note completed by Government
South Africa[a]	Country strategy note process at initial stage
Zimbabwe[a]	Agreed work programme on country strategy note
Asia	
India	Government does not intend to pursue country strategy note
Philippines	Country strategy note completed by Government
Viet Nam	Country strategy note completed by Government
Arab States	
Morocco	Country strategy note completed by Government
Latin America	
Colombia[a]	Final draft of country strategy note being reviewed by Government
Guatemala	Country strategy note completed by Government
Europe and the Commmonwealth of Independent States	
Romania	Country strategy note process at initial stage
Turkey[a]	Country strategy note completed by Government

Source: United Nations Secretariat.
[a] Second group of pilot countries.
[b] Least developed country.

96. The added value of UNDAF should be its capacity to harmonize country programmes and promote or revitalize policy dialogue and consultation processes with all relevant partners, and to ensure that system-wide strategic decisions are based on a technically thorough common country

assessment. It will be important to consider simplification of programming procedures, as suggested below.

97. The relationship between the country strategy note and UNDAF is viewed by system organizations in different ways:

(a) This relationship is sometimes perceived as a comparison between demand (country strategy note) and supply (UNDAF) for United Nations system's assistance;

(b) UNDAF is expected to improve the operational efficiency of the system and expand resource mobilization, and to act as a conceptual "umbrella" for the operational activities of the system;

(c) UNDAF should emphasize the advocacy role of the system, incorporating thematic priorities, while preserving a division of labour on the basis of mandates of and possible complementarities among individual agencies;

(d) UNDAF may fill a missing link between the high strategic level of the country strategy note and the operational level of individual agency country support programmes;

(e) UNDAF is a subset of the country strategy note process or a downstream process of the country strategy note, which provides a framework for collaborative programming before each participating organization begins its own programme preparation.

98. The system organizations indicated a number of issues which require further clarification:

(a) The value added of UNDAF;

(b) The compatibility between the country strategy note and UNDAF, and the distinction between the two processes;

(c) The role of the resident coordinator and the need for training;

(d) The role of specialized agencies, the constraints on small agencies and the different treatment of funding agencies as compared with technical non-funding agencies;

(e) The specific role of consultants;

(f) The importance of the common country assessment;

(g) The role of the Government;

(h) The influence of the harmonization of programme cycles;

(i) The need to harmonize operational procedures (joint versus collaborative programming).

C. Programme approach

99. These system-wide efforts to improve consistency and the impact of programming activities should be related to efforts to harmonize the programme approach. A common interpretation of this concept was required by the General Assembly in paragraph 13 of its resolution 47/199 and paragraph 28 of its resolution 50/120. CCPOQ has agreed on issuing revised guidelines based on experience acquired to date. The operational impact of the country strategy note and UNDAF will be greatly enhanced by the use of the programme approach.

100. The value added of the country strategy note and UNDAF depends on their capability to enhance the coherence, relevance, sustainability and cost-effectiveness of United Nations system operations, favouring joint programming activities, harmonizing resource mobilization efforts and integrating system support with national efforts through fuller utilization of the programme approach.[2]

101. Although local circumstances may dictate the use of the traditional project approach, resident coordinators report a process of gradual transition from the project approach to the programme approach; or at least, the programme approach is considered a longer-term objective of all country offices. In some cases, the programme approach is not systematically applied or not applied on a system-wide basis; in others, United Nations organizations are just beginning to formulate and introduce the programme approach. The responses of recipient Governments on the utilization of the programme approach by the United Nations system show that in the majority of the cases examined, the support of the system is reported as being adequately integrated with national efforts, although more progress is still required. Indeed, in a considerable number of countries, the experience by most of the system with the approach is still inadequate and its implementation is still tentative.

D. Issues in programming: harmonization and simplification

102. The programming activities of the United Nations system can be described as parts of a cooperation programming cycle, which include the following components:

(a) Establishment of consultation mechanisms;

(b) Country situation analyses or country-based assessments;

(c) Formulation of overall strategic frameworks, which reflects national needs and priorities for the United Nations system, linking them with global agendas;

(d) Harmonization of country programmes of the United Nations funds and programmes;

(e) Promotion of the programme approach and design of system-wide mechanisms of monitoring and evaluation;

(f) Harmonization of programming cycles and simplification and harmonization of programming procedures.

103. This sequence includes the harmonization of complex policies and procedures which have evolved in each organization to translate mandates into operational programmes. These policies have sustained and given form and identity to the respective programmes and activities, and have shaped unique roles for each of these organizations in the intricate world of development cooperation. Reforms are now under way system-wide with a view to consolidating, if possible, some requirements into the new instruments of collaboration, while enhancing the effectiveness of each organization within its own responsibilities. The multiplication of joint or harmonized initiatives at the country level and the promotion of UNDAF have created a momentum to make further progress in this area.

104. Some Member States have called for simplification in the procedures for country programming, especially after the introduction of UNDAF. This demand for reform comes primarily but not exclusively from recipient countries that wish to reduce the excessive complexity of the development cooperation process. In its resolutions 47/199 and 50/120, the General Assembly calls for the simplification and harmonization of procedures. Unfortunately, the majority of the resident coordinators report that very little progress has occurred since 1995 on the specific question of the simplification and harmonization of procedures in practical day-to-day collaboration; most believe that initiatives in this regard need to be taken by relevant headquarters of United Nations system organizations. Current reforms raise expectations that simplification and harmonization can proceed in step with UNDAFs.

105. Further progress needs to be achieved in the synchronization of the programming cycle to ensure that a common strategic framework can serve all participating organizations in preparing their programmes. According to Joint Consultative Group on Policy (JCGP) decisions in 1996, 90 per cent of the respective programmes should be harmonized by the next programming cycles. Once that goal is implemented, the effective link between strategic programming frameworks and country programmes or their equivalent will be greatly facilitated.

106. As current reforms in achieving collaborative programming take hold, the processes of the United Nations system reform will require an examination of country programming experiences and the corresponding practices with a view to identifying areas for harmonization and possible process simplification. Of the range of stages by which United Nations funds and programmes develop country programming and the provisions for their implementation, it is usually the initial stage that offers the best point of departure for the consideration of objectives and procedures in terms of "elements in common", and to study possibilities of simplification on the basis of those elements.

107. A simplified illustration of the specific documentation required by the country programming of the main funds and programmes is reported in table 8, which shows the various actors involved in its preparation, the type of information required, the involvement of the Government and the provisions for interaction between organizations of the system.

E. National execution

108. In the past, national executive issues pertained principally to UNDP-funded projects, and to a lesser extent to UNFPA. WFP and UNICEF have reported full national execution for many years; other organizations have developed their own concepts in the area of execution of programmes and projects. UNDP Executive Board decisions adopted in 1992, 1996 and early 1998 introduced major shifts in funding and associated support mechanisms. In 1992, UNDP expenditure through national execution was reported at 23 per cent of total project expenditure; according to the latest data for 1997, that figure has risen to 72 per cent. UNFPA is increasing national execution, and associated technical support services help to mobilize national expertise. Greater harmonization of concepts and approaches in the system is still required, a task that is being considered by CCPOQ, which recently issued revised guidelines.

Table 8
Initial stage of country programming: comparison of four funds and programmes

Preparation of country programmes	*UNDP*	*UNFPA*	*UNICEF*	*WFP*
Common feature	When a country programme is prepared at the country level, headquarters and the Executive Board have key responsibilities in reviewing programme activities, but the process begins and ends at the country level			
Initial steps: the principal documents	Advisory note leading to the country cooperation framework (CCF)	Country population assessment (CPA)	Country note, based on position paper and draft work plan	Country strategy outline (CSO)
I. Who prepares the principal documents	Country office prepares advisory note; Government responsible for CCF	CPA is prepared by a working group chaired by national expert or public official, country office is secretariat and coordinator	Position paper by country office and draft work plan by country office in conjunction with Government	CSO prepared by country office, following dialogue with Director of host country institutions
II. What information is reviewed for preparation of the principal documents	Country strategy note, NATCAP [a] NHDR,[b] common country assessment, UNDAF, and consultations with Government and private sector	Existing studies, UNDAF, and consultations with key government officials, non-governmental organizations, and members of Executive Board	"Milestone" strategy meetings, studies, existing assessments, lessons learned in the country	Consultations with Government, United Nations system, review of linkages with country strategy note
III. Government involvement form of consultation	Advisory note is appraised by local programme appraisal committee, co-chaired by Government and UNDP; Government consults country office in preparation of CCF; Executive Board reviews CCF for approval	Working group responsible for CPA is jointly chaired by Government and UNFPA field office in consultation with Government and headquarters	Preparatory documentation for position paper and work plan, developed in consultation with Government and signed by Government and other partners, in line with Executive Board approved policies	CSO prepared by country office in collaboration with Government and technical support from headquarters; Executive Board reviews CSO
IV. Provisions for interactions with United Nations system	Advisory note and CCF require appraisal by local committee, which includes local representatives of United Nations agencies	Analytical phase of CPA involves consideration of planning and programme cycles of Government and concerned United Nations agencies, and their coordination	Work plan prepared in conjunction with Government, identifies tasks and functions, includes United Nations agencies and others	Preparation of CSO involves consultations with United Nations agencies, in context of Assembly resolution 47/199 and attention to country strategy note

[a] National technical cooperation and assessment programme.
[b] National human development report.

109. National execution is favoured by recipient Governments, although they have cited some problems with implementation. Donor Governments continue to favour the modality, although they express some caution as to local capacities and accountability. Positive aspects were summed up by all sides in terms of greater ownership, sustainability of capacity-building, promotion of self-reliance, and engagement and improvement of local expertise. Long-standing difficulties with administrative arrangements and the diversity of United Nations rules and procedures, have prompted agencies and Governments to express an interest in securing more helpful guidelines, management training and greater support to national authorities. One of the impact evaluations indicated that national execution is being supported through technical assistance staff who provide essential elements to make possible the building of capacity for planning and implementation, thus equating national execution with the national programme.

110. Administrative support from UNDP and UNOPS is welcomed by a number of recipient Governments, but donors advise caution and the establishment of exit strategies lest such support substitute for national management and ultimately impede national capacity-building and ownership.

111. United Nations agency responses emphasize that their role has become much more geared to programme and project design and related substantive work, including for UNDP-funded programmes and projects, rather than to project implementation. They reiterated the importance of United Nations system support to help ensure successful outcomes through the national execution modality.

112. The preparation of the present report coincides with the finalization of new UNDP guidelines for national execution, in which representatives of interested United Nations agencies were consulted, and CCPOQ endorsement of a system-wide text for inclusion in the CCPOQ operational activities manual. The new UNDP guidelines (UNDP/PROG/98/1) became effective in April 1998. It is obviously not possible to assess their impact at the country level. Both documents emphasize that the basic role of United Nations development programmes and activities is to support national programmes and priorities by providing financial contributions and substantive policy advice to Governments, and by helping to develop skills and technology based on the comparative advantages of the United Nations system. The focus is on strengthening national capacities and skills in order to enable Governments to fully manage the development efforts of the country and to achieve national self-reliance. The guidelines give particular attention to questions of management, accountability, support by the United Nations system, local capacities, financial management, monitoring and evaluation, and audit.

113. The UNDP guidelines reflect priorities of the UNDP Executive Board as expressed in its decision 98/2, and respond to points made by the United Nations auditors concerning accountability. Those guidelines foresee the assessment of capacity for national execution by focusing on technical, managerial, administrative and financial capabilities. Where such capacities are inadequate, provision is made for them to be improved with support from UNDP and other United Nations system organizations. Regarding establishment of management support units or other UNDP-financed support services at the country level, the guidelines make specific arrangements.

III. Humanitarian assistance, rehabilitation and development

114. The Inter-Agency Standing Committee (IASC) on humanitarian assistance has taken the lead in developing a more strategic and coordinated approach to crisis situations. This includes putting in place coordination mechanisms at the field level, and developing the Consolidated Appeals Process (CAP) as an effective programming instrument, closely linked to the planning and funding of rehabilitation and development programmes. This is important, since otherwise emergency programmes may come to an end without adequate arrangements to ensure the livelihoods of those who depended on them. Similarly, development agencies are having to review their programming and funding systems, in consultation with donors. That donors often support humanitarian and development programmes from different funding windows is a factor which must also be addressed in this context.

115. The Secretary-General's reform programme (see A/51/950) instituted a number of relevant changes. The Department of Humanitarian Affairs was divested of operational responsibilities and reconstituted as the Office for the Coordination of Humanitarian Affairs; liaison between the Department of Peacekeeping Operations, the Department of Political Affairs and the Office of the High Commissioner for Human Rights and the United Nations Development Group was strengthened; some functions related to natural disaster were transferred to UNDP; functions related to landmines were transferred to the Department of Peacekeeping Operations and UNDP; the role of IASC as the focal point for coordinated humanitarian initiatives was reinforced; the consolidated appeals process was extended to include resource requirements for

rehabilitation activities; and the importance of human rights concerns in conflict situations has led to the systematic participation of the Office of the High Commissioner for Human Rights in inter-agency actions. The resident coordinator increasingly performs the function of humanitarian coordinator; issues pertaining to this role are being reviewed by IASC. In the new procedures for selection of resident coordinators, particular attention is to be paid to candidates that meet the requirements for humanitarian coordination, where needed.

116. In their questionnaire responses, donor Governments emphasized the importance of interconnection – among actions on the ground and among United Nations and other agencies – to help support relief, rehabilitation and recovery. They welcomed steps by the United Nations system to adopt a more comprehensive approach for countries in special circumstances. Several noted some stress and overlap in United Nations efforts, from which their own bilateral programmes also sometimes suffered, especially when activities could not clearly be defined as either strictly humanitarian or developmental.

117. Responses from the resident coordinator system reflected United Nations efforts to cope with crisis and post-crisis situations in as many as three dozen countries on four continents. Many emphasized that development issues have an impact on a conflict situation, and that the mix of skills from around the United Nations system could be brought to bear to minimize destruction and displacements and hasten recovery. In such cases, thematic groups and inter-agency coordination committees were important and met frequently. Also evident was the evolution of development concerns, including early planning for economic recovery, with special attention to vulnerable and/or previously hostile groups. While inter-agency field-level cohesiveness was evident, so also were problems arising from separateness of agency identities, especially as perceived in relation to agency headquarters. Resident coordinator responses also emphasized the importance of adopting a longer-term perspective; the United Nations system's common response capabilities; capacity-building and governance; strengthening of national ownership and oversight; decentralization; civil society; and working with bilateral and other donors.

118. United Nations agency responses indicated considerable growth of activities and policy attention in the past three years. For example, the UNDP programming system approved in 1995 included a portion specifically for the development of strategic frameworks for recovery and special programme initiatives, immediate support for coordinated and urgent response to crisis, and capacity-building in "countries in special situations". UNDP estimated that 35 per cent of its core resources are currently targeted for work in such countries.

119. The involvement of WFP in recovery aims to help crisis-affected people to stabilize livelihoods, strengthen positive coping mechanisms and resume the development process. This approach seeks opportunities for introducing development activities and strengthening the capacities of vulnerable populations in the hope of contributing to the prevention of conflict and emergencies. As a consequence, WFP interventions are case-specific, with assistance for relief, recovery and/or development being provided at any one time in a given country. The Office of the United Nations High Commissioner for Refugees (UNHCR) noted that unless its reintegration efforts (material assistance, infrastructural rehabilitation, local capacity-building) formed part of an integrated international rehabilitation and reconstruction strategy, their impact was likely to be insufficient, circumscribed and short-lived.

120. FAO, active in food security and rural development, obtained clarification of its role and policies in the area of humanitarian assistance in 1996, through the FAO Council and the World Food Summit Plan of Action. UNICEF noted its special capability deriving from a focus on relief and development in a mutually reinforcing manner, its continuous in-country presence, and its programming partnerships with Governments and communities. The United Nations Centre for Human Settlements reported an increasing involvement in programmes involving the reconstruction of physical infrastructure and services; promoting improved governance, especially at local levels; and restoring community institutions. UNFPA reported that it is increasingly responsive to crisis and refugee situations and violence against women, including Board-approved policy guidelines and special programmes, and new collaborative efforts and agreements within and outside the United Nations system. UNOPS is also providing administrative support in rehabilitation and social sustainability, and has established a unit for that purpose at Geneva. The War-torn Societies Project, associated with the United Nations Research Institute for Social Development, has sponsored ground-breaking studies and workshops. As for the World Bank, in 1997 it formulated and deliberated a framework document for its involvement in post-conflict reconstruction, including lending and other operations; established a post-conflict unit in its Social Development Department, and obtained Board approval for a related programme under the Development Grant Facility. Notable in the framework paper were the many specific references to partnership with the rest of the United Nations system.

IV. Post-conflict peace-building

121. The General Assembly has addressed the subject of post-conflict peace-building in its resolutions 47/120, 51/240 and 51/242. The report of the Secretary-General on the causes of conflict and the promotion of durable peace and sustainable development in Africa (A/52/871-S/1998/318) brings forth a number of issues and ideas on the subject.

122. United Nations reforms include provisions to strengthen cohesion for peace-building. Thus, in countries where field operations are in place, the Special Representative of the Secretary-General has authority over all United Nations entities, including force commanders, civilian police commissioners, resident coordinators and humanitarian coordinators. At Headquarters, the Department of Political Affairs in its capacity as convener of the Executive Committee on Peace and Security (ECPS) is the United Nations focal point for peace-building and works closely with other departments and entities of the United Nations system; further internal guidelines in this area are being developed. ECPS, in collaboration with other executive committees, has responsibility for design and implementation of peace-building initiatives. Consistent with this, the Department of Political Affairs and ECPS have undertaken several preliminary steps on focal point and consultative arrangements, including in relation to the Great Lakes region of Africa. Other aspects of the United Nations reforms, in the areas of development cooperation, humanitarian affairs and human rights, are also pertinent.

123. ACC is currently giving considerable attention to the elaboration of a strategic framework to guide United Nations system assessments and actions and ensure necessary linkages. At its April 1997 session, ACC agreed in principle to the concept on the basis of prior work by CCPOQ, and identified one country for testing the idea. At its April 1998 session, ACC considered a draft strategic framework for Afghanistan, as well as a draft of generic guidelines for dealing with such situations. ACC acknowledged the difficult circumstances of the country and this effort, agreed on priorities for next steps and welcomed the Secretary-General's decision that the Deputy Secretary-General would steer further development of the initiative. Issues raised in ACC included the ownership of the process, both by the United Nations system and by the people of Afghanistan and their institutions; problems concerning gender, drug control, population displacements, landmines and international recognition of the national authorities; the relation of assistance efforts and political efforts; the contributions of existing United Nations mechanisms, including CCPOQ, the Inter-Agency Standing Committee, UNDAF, the Consolidated Appeals Process etc.; the need for the strategic framework documentation to be comprehensive yet easy to use; and the importance of showing early practical benefits.

124. Concurrent and linked with the work from Headquarters and ACC, a framework of organizational relationships for international assistance to Afghanistan has been developed at the field level, led by the resident coordinator/humanitarian coordinator and involving United Nations organizations and agencies, bilateral and multilateral donors, non-governmental organizations and Afghans. Entitled "Making a reality of principled common programming", it was welcomed at the May 1998 meeting of the Afghan support group of donors.

125. In its resolution 51/242, the General Assembly noted that the multidimensional nature of peace-building demands effective coordination. Studies prepared by the United Nations Secretariat on lessons learned point to the difficulties and challenges involved. As a new step, the first United Nations peace-building support office has been established since early 1998 in Liberia. As agreed with the Government and members of the Security Council, the office is intended to strengthen and harmonize United Nations peace-building efforts; help to mobilize international political support for the country's reconstruction and recovery; facilitate the technical assistance efforts of the resident coordinator and the United Nations country team; and assist local efforts for reconciliation, establishment of democratic institutions and respect for human rights. The office is headed by a representative of the Secretary-General, supported by the Department of Political Affairs, who is responsible for ensuring a consistent policy approach by the entire United Nations system and for maintaining consultations with key partners, including the Government, international financial institutions and other major donors. The resident coordinator in Liberia serves as deputy to the representative, in addition to existing functions, including humanitarian coordination. The resident coordinator is to keep the representative informed about relevant United Nations work and initiatives, continues to coordinate United Nations operational activities for development, and will provide continuity once the mandate of the office has ended. As indicated in the recent report of the Secretary-General on the causes of conflict and the promotion of durable peace and sustainable development in Africa (A/52/871-S/1998/318), it is hoped that similar support structures may be established in other cases.

126. Resident coordinator questionnaire respondents described United Nations work for planning recovery, landmines clearance, resettlement and reintegration of populations, preparations for elections, strengthening of

judiciary and police, revamping of administrative structures, conducting workshops on reconciliation, mobilizing inter-agency area-based development programmes etc. Coordination of United Nations system assessment, planning, and implementation of relief and rehabilitation activities was frequently noted as important, both for the United Nations and in its relations with other actors.

127. Special representatives of the Secretary-General were assigned to a number of the countries reviewed. Resident coordinators reported that a separation prevails between the political and relief and development operations in some cases; in others, political and operational issues are seen as linked by local authorities and assistance providers. In one instance of the latter, the Special Representative was invited to chair a coordinating council for the conduct of peace negotiations, and appointed representatives of UNDP, UNHCR and the military observer mission to lead working groups on socio-economic rehabilitation, refugee repatriation and security issues. In another country, "cooperation for development" is one objective of the peacekeeping mission, and the resident coordinator serves as Deputy Special Representative. In another country, the contesting parties and the Special Representative invited various United Nations entities to support the political and socio-economic aspects of the peace agreements, including technical inputs to their design and arrangements to verify their implementation.

128. Among United Nations agency commentaries, UNESCO cited General Assembly resolution 52/13 on a culture of peace, on which a full report will be submitted to the General Assembly at its next session, and UNICEF cited Assembly resolution 52/107 on the rights of the child; both address needs of vulnerable groups. The World Bank described its new framework for the introduction of programmes in countries emerging from conflict, which focuses on preparing a support strategy, including partnership with the United Nations and others, and moving to agreements with national authorities for reconstruction activities, as conditions allow. UNDP provided much information on its growing role in crisis and post-conflict situations, including helping to devise specific frameworks for assistance to reconstruction, helping to mobilize international resources, and building new inter-agency partnership linkages.

129. Donor responses emphasized that reconstruction and rehabilitation operate in a delicate political environment, and therefore all parties should adhere to a common framework. They called for a coordinated approach to peace-building, making use of ACC machinery, to guide country-specific actions.

V. Regional dimensions of operational activities

130. As mandated, operational activities focus primarily at the country level. The vast proportion of those activities is organized within individual countries. A relatively small proportion (10 to 15 per cent in terms of total resources) is undertaken at the regional and subregional levels. Although relatively small in financial terms, those regional and subregional operational activities offer broader perspectives and open up new opportunities for generating productive forms of multilateral action, especially important to transboundary development cooperation and for peace-building. The United Nations system has important comparative advantages in this respect: its objectivity, neutrality and acceptability in dealing with sensitive questions, particularly important when managing intercountry issues; its access to intersectoral resources and global and regional databases; its systems of grant funding; its role in setting norms and standards on a global and regional scale; and its growing intercountry technical support and managerial structures.

131. Subregional and regional intergovernmental organizations have emerged in increasing numbers, with which United Nations organizations have established a varied pattern of relationships and linkages. While these bodies are of diverse nature, they typically pursue the aim of finding common solutions to complex transboundary issues in a spirit of multilateral cooperation. The United Nations system has helped to strengthen their structures and technical capacities, and assists in developing and shaping their agendas and advising on policy issues.

132. Regional and subregional development cooperation offers a range of opportunities for enhancing the development prospects of individual countries. Objectives pursued by these activities include economies of scale; complementarity to country-level action; addressing multi-country common problem areas; exchange of experience; addressing transboundary issues; facilitating economic integration; building and strengthening regional institutions of all types; advancing global, regional and subregional mandates; enabling advocacy and policy development; and as instruments for resource mobilization. Regional and subregional structures and cooperation facilitate exchange of information.

133. The growing technical strengths of United Nations system regional and subregional facilities offer cost-effective support to development processes at the country level, and for stimulating regional technical cooperation

among developing countries. The increasing United Nations involvement in advocacy and policy development in sustainable human development might be pursued more actively at the subregional and regional levels. There is also the distinct prospect of mobilizing both technical and financial resources from non-traditional sources through these regional and subregional approaches.

134. The many stakeholders in intercountry operational activities – recipient Governments, donors, United Nations organizations, including regional commissions, and intergovernmental organizations at the regional and subregional level – hold a range of views on the nature of the future of regional and subregional cooperation. Stakeholders are concerned with the issues of complementarity and linkage between country and intercountry activities; coordination of intercountry operations; the role of regional commissions; expanding the prospect for technical cooperation among developing countries; and establishing closer working relationships between United Nations regional and subregional organizations and non-United Nations regional and subregional intergovernmental bodies.

VI. Evaluation

135. In General Assembly resolution 50/120 and subsequent Economic and Social Council resolutions, notably Council resolution 1996/42, the United Nations system was called upon to ensure improvements in monitoring; coordinate programme reviews and evaluations; apply lessons learned systematically; build evaluation criteria into all projects and programmes; and promote national evaluation capacity and provide the Economic and Social Council with information on evaluation activities that is quantifiable and comparable. All funds, programmes and agencies of the United Nations development system were also urged to identify measurable targets, strengthen their monitoring and evaluation capabilities, incorporate those targets in plans to implement Assembly resolution 50/120 and cooperate in the development of monitoring and evaluation methodologies.

136. The system is responding to the guidance from the General Assembly on issues of monitoring and evaluation. There have been some instances of joint evaluations. One or two agencies have been active in supporting development of national evaluation capacity. However, the overall response remains incomplete, and continued attention by the Assembly to this issue appears to be necessary.

137. Few, if any, agencies responded to the need for established targets referred to in Council resolution 1996/42. In addition, movement towards holding joint programme reviews rather than separate exercises has been slow, although the introduction of UNDAF may encourage at least the funds and programmes to move in this direction. Only limited information on achievements in terms of impact and effectiveness was provided by United Nations organizations. Different United Nations entities report on the results that they have achieved in different ways, reflecting the variation in product, style and role that exists within the United Nations development system.

138. UNICEF reports in quantified terms on achievements in relation to goals of the Declaration and Plan of Action of the 1990 World Summit for Children and the Convention on the Rights of the Child.

139. Other agencies, such as the International Trade Centre, refer to increased awareness of trade rules in the business community and improved competitiveness of enterprises and capacities in trade promotion.

140. The United Nations International Drug Control Programme (UNDCP) provided data on achievements in terms of drug demand reduction and supply reduction in specific geographical areas.

141. UNDP's report on project evaluations indicates 83 per cent of its projects had a positive impact on final recipients and 84 per cent had a positive impact in terms of capacity-building. Moreover, UNDP's substantive capacity in the areas of environment and governance is increasingly recognized and that its annual Human Development Report contributes to the process of making development thinking and policies focus on people.

142. UNFPA indicated that it conducted five thematic evaluations in the 1995–1997 period and initiated two more recently.

143. WFP reported that although no quantitative data are available, its emergency relief aid saved many lives and significant numbers of people were supported in returning to normal civilian life. Its food aid has a positive effect on household food security and provides short-term employment. In the context of structural adjustment, it mitigates the negative effects of the adjustment process on the poor.

144. WHO evaluates its activities in terms of the Health For All initiative, though a detailed record of performance achieved is not available. However, evaluations of major programmes on essential drugs make detailed estimates of achievement.

145. FAO reports evaluation results emanating from some 148 projects, a review of special relief operations and a thematic evaluation of food quality control. UNIDO notes that it moved upstream to a global forum role and points to specific achievements with regard to small and medium enterprises, especially in Africa, and in the brokering of $800 million investments in 1996.

146. Thus, overall, although there is an authentic reporting of results it is not yet done in the comparable terms requested by the Council in its resolution 1996/42. There are some genuine methodological problems here of measurement and quantification, which demand ongoing attention and work. There is thus scope for work within the system on these issues with a view to providing greater transparency on how United Nations entities measure and assess their own performance.

147. Lessons learned by the system are principally at the project and programme level rather than at the national or strategic level, and many are similar to conclusions drawn previously. Thus, there is little evidence of progress in this area. The Inter-Agency Working Group on Evaluation, which could provide the necessary leadership on a variety of evaluation issues, last met in June 1998. Some relevant issues were reviewed then; however, the concerted approach by the system suggested in General Assembly resolution 50/120 and Council resolution 1996/42 has yet to emerge.

148. At the field level, more than half the responses from the resident coordinator system provide detailed information on evaluation activities. Several general conclusions emerge. There are no common criteria for the resident coordinator system to adopt for evaluations of their projects and programmes. The focus is largely on evaluation work undertaken by individual agencies. There are only few instances of joint evaluation by United Nations system organizations. There is little evidence that the system has moved to carrying out programme reviews and evaluations jointly and in a coordinated fashion. Each agency appears to insist on evaluating "its" programme for reasons of accountability and visibility, even though joint evaluations could promote lesson learning, economize on scarce national resources, and focus attention on the relevant national concern or programmes. The lesson learning and accountability for performance aspects of evaluation remain underemphasized.

149. There is an ongoing process of capacity-building in the field of evaluation at the country level. Only a few countries have requested specific assistance in upgrading and improving their evaluation practices but capacity- building is taking place, both formally and informally, through a variety of interactions between government and United Nations organizations at the field level. The increasing attention by the United Nations system to developing databases and benchmark indicators has assisted governments in their own approaches to evaluations. Individual United Nations organizations work closely with specific agencies of governments, to upgrade evaluation methodologies. A key area for United Nations inter-organizational collaboration in the field of evaluation is information-sharing on the basis of results of evaluations.

150. As far as impact of the United Nations system at the country level is concerned, recipient governments have not reported evaluating of United Nations operational activities, although they are generally agreed that United Nations system operational activities contribute to their development. Several countries referred to the magnitude of resources as one important criterion by which the United Nations system is judged. The contributions made to policy development, especially in the social sectors, are being viewed favourably by many countries. Mitigating the negative social effects of economic reforms is seen as particularly important. The United Nations system is making important contributions in aid coordination and management, and helps to integrate transitional economies with the world economy.

151. Donor countries have undertaken a few evaluations of United Nations operational activities, joint evaluation by Canada, Finland and Germany of UNFPA work; Germany's evaluation of trust fund projects of UNDCP in Peru; evaluation of United Nations field system in Thailand and Viet Nam by the United Kingdom; evaluation of UNDP by the United States of America. Apart from these activities, donors also have obtained their knowledge of the impact of the United Nations system activities from other sources.

152. Judgements on impact and effectiveness seem to depend on the understanding of the comparative advantage of the United Nations system. The comparative advantage was seen as: neutrality; as a programme country's advocate; as sound management and cost-effectiveness; as focusing on social sectors such as education, public health, food security, human rights, crisis prevention and entrepreneurship; as focusing on the areas of poverty, eradication governance, and environment; in capacity development and policy advocacy. The considerable programme experience and extensive field networks is considered as important.

153. The impact of the United Nations system is also seen as most effective when there is a clear mandate. Many donors indicated that coordination among United Nations organizations is an important factor. There is also a

recognition of the importance of greater coherence between United Nations normative and operational activities. Decentralization of authority to the field level was seen as a critical factor. Design of projects and quality of implementation, and improvement of monitoring and evaluation also received mention in donor responses. There is considerable scope for exchange of experience and information on best practices.

VII. Resources and funding

154. The contribution to core resources of UNDP[4] has declined in the last three years by nearly 10 per cent, from US$ 943 million in 1994 to $911 million in 1995 and $855 million in 1996. Core contributions to UNDP-administered funds and trust funds have also been largely static, at $64 million in 1994, $78 million in 1995 and $56 million in 1996. Non-core contributions to UNDP and UNDP-administered funds by major donors have increased marginally, decreasing from $189 million in 1994 to $169 million in 1995, and increasing to $244 million in 1996. The marginal increase of non-core funds has not compensated adequately for the decline in core contributions by major donors. UNDP and UNDP-administered funds have mobilized significant amounts of non-core resources from countries other than major donors. Total non-core resources mobilized amount to $687 million in 1994, $715 million in 1995 and $944 million in 1996. About 60 per cent of those non-core resources have been mobilized from 15 countries in Latin America. Most of those non-core funds do not fall into the category of ODA. Total resources available to UNDP increased from $1,694 million in 1994 to $1,704 million in 1995 and $1,855 million in 1996.

155. Core resources available to UNICEF[4] have declined 20 per cent in the three years 1994 to 1996. From $679 million in 1994, it declined to $542 million in 1995 and $516 million in 1996. In compensation for this decline, there has been a significant increase in non-core resources, from $327 million in 1994 to $464 million in 1995 and $425 million in 1996. Total core and non-core resources available to UNICEF amounted to $1,006 million in 1994, $1,007 million in 1995 and $941 million in 1996.

156. Contributions to UNFPA[4] can be described as stable over the last three years. Core resources amounted to $255 million in 1994, $305 million in 1995 and $232 million in 1996. Other resources increased from $11 million in 1994 to $32 million in 1995 and $43 million in 1996. Total UNFPA resources amounted to $265 million in 1994, $337 million in 1995 and $275 million in 1996.

157. Contributions to WFP[4] in the last three years have amounted to $1,515 million in 1994, $1,282 million in 1995 and $1,333 million in 1996. Nearly 70 per cent of WFP resources have been targeted for humanitarian and emergency purposes, leaving the balance to support development activities. Contributions to other United Nations funds and programmes have declined in the last three years, from $78 million in 1994 to $70 million in 1995 and $70 million in 1996.

158. Total resources available from donor and non-donor sources, in the form of contributions to core and non-core resources and including ODA and non-ODA components to United Nations funds and programmes, amounted to $4.6 billion in 1994, $4.4 billion in 1995 and $4.5 billion in 1996. The overall picture is that resources available to United Nations funds and programmes have declined. The core resources available have declined more sharply than total resources. Africa receives nearly 40 per cent of all United Nations system resources, Asia and the Pacific 22 per cent, Latin America 22 per cent, Europe 6.6 per cent, and West Asia 6 per cent.

159. ODA from United Nations funds and programmes is widely distributed among 130 countries. The country coverage of United Nations operational activities far exceeds that of any other bilateral or multilateral organization. The significance of United Nations funds and programmes as a percentage of total ODA receipts by individual countries varies extensively between countries. In Africa, more than 20 countries received United Nations assistance in excess of 10 per cent of their total ODA receipts in 1996, six of those received assistance amounting to 20 per cent of ODA. In Asia, nine countries received United Nations assistance in excess of 10 per cent of ODA in 1996, while in Europe and the CIS States only three countries and in Latin America five countries received similar levels of assistance in 1996 (for more detailed information, see E/1997/65/Add.1 and A/52/431).

160. The UNDP/UNFPA Executive Board has established an open-ended ad hoc working group for UNDP to develop a sustainable funding strategy. The Board recognized the importance of non-core resources in UNDP's overall strategy for resource mobilization. Concerning UNFPA, the Board is seeking ways on the basis of the intergovernmental agreement reached at the International Conference on Population and Development in 1994, of placing funding on a more secure basis. UNICEF has considered funding issues, especially in relation to questions such as burden-sharing and multi-year pledges. The WFP Board is also reviewing its experience with long-term funding arrangements. It is

expected that consideration of this subject will lead to progress in this area by September 1998.

161. In submitting their comments for the triennial review, Member States, both donors and recipients, have expressed their strong commitment to United Nations system operational activities for development but expressed concern about current trends in core resources. Ideas contained in the note by the Secretary-General (A/52/847) should be explored by the Executive Boards and the General Assembly. The outcome of the review of the funding issues at the level of the Executive Boards carried out in accordance with Assembly resolutions 52/12 B, 50/227 and paragraph 10 of Assembly resolution 50/120 will undoubtedly have a major bearing on the current triennial policy review.

Notes

[1] The total number of countries for which information is available has considerably increased since 1995, from 131 to a total of 143 countries in 1998; the samples are, therefore, not completely homogeneous. However, the information on active country strategy notes refers to countries which were included in both dates, which makes the increase of the adopted country strategy notes still meaningful.

[2] See ACC/1993/10; see also recommendations of a workshop on the theme "Best practices in the resident coordinator system and related matters", Turin, 18-21 February 1997.

[3] A separate conference room paper will contain the major conclusions of the six impact evaluation studies.

[4] For details, see E/1998/48/Add. 1; conclusions are reported if received in the calendar year.